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PATENT APPLICATION

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of Helmut CLAUSING, et al.

Confirmation No.: 2541

Appln. No.: 10/540,350

Art Unit: 3661

Filed: June 21, 2005

Examiner: NGUYEN, THU V

For: OBSTACLE WARNING SYSTEM FOR RAILBORNE VEHICLES

Attorney Docket No.: 3926.170

Customer No. 30448

CERTIFICATE UNDER 37 CFR 1.8(a) I hereby certify that this correspondence is being deposited either by

facsimile to 571-273-8300 or with the U.S. Postal Service as First Class mail in an envelope addressed to Mail Stop Amendment, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-

1450 on <u>September 1, 2006</u>

Charleg. No. 56,15

INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. §1.97 and §1.98

Mail Stop Amendment

Commissioner for Patents P.O. Box 1450 Alexandria, VA 22313-1450

Sir:

In accordance with the duty of disclosure under 37 C.F.R. §1.56, Applicants hereby notify the U.S. Patent and Trademark Office of the following documents for the above-identified application. Copies of the non-US documents set forth below and listed on the attached Forms PTO/SB/08A & B, copy of the International Search Report (ISR) are provided herewith.

- 1. US 6,163,755
- 2. JIN ET AL.: "A highly accurate laser-sectioning method for in-motion railway inspection," IEICE Transactions on Information and Systems, 1993, pages 1181-1189, Vol. E76-D, No. 10, Tokyo, Japan (in English)

{WP330771;1}

Application No: 10/540,350 Information Disclosure Statement

Attorney Docket No: 3926.170

3. JIN ET AL.: "Advanced dynamic obstacle-detecting system for railway surroundings using a highly accurate laser-sectioning method," Proceedings of the International Conference on Instrumentation and Automation (IECON), 1992, pages 1599-1603, IEEE, New York, US (in English)

Documents 1-3 are cited in the ISR.

The present Information Disclosure Statement is being filed before the mailing date of the first Office Action on the merits, therefore no Certification Under 37 C.F.R. §1.97(e) or fee under 37 C.F.R. §1.17(p) is required.

The submission of the listed documents is not intended as an admission that any such document constitutes prior art against the claims of the present application. Applicants do not waive any right to take any action that would be appropriate to antedate or otherwise remove any listed document as a competent reference against the claims of the present application.

Applicants respectfully request that the listed documents be considered by the Examiner and be made of record in the present application and that an initialed copy of Forms PTO/SB/08A & B be returned in accordance with MPEP §609.

Date: September 1, 2006

Respectfully submitted,

Yonghong Chen

Registration No. 56,150

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PTO/SB/08A (07-05)

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> INFORMATION DISCLOSURE STATEMENT BY APPLICANT

> > (Use as many sheets as necessary)

Sheet 1

Complete if Known				
Application Number	10/540,350			
Filing Date	06/21/2005	1		
First Named Inventor	Helmut CLAUSING	1		
Art Unit	3661	-		
Examiner Name	NGUYEN, THU V			
Attorney Docket Number	3926 170			

			U. S. PATEN	DOCUMENTS	
Examiner Initials*	Cite No.1	Document Number Number-Kind Code ^{2 (f known)}	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		^{US-} 6,163,755	12-19-2000	Peer et al.	
		US-			
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FOREIGN PATENT DOCUMENTS							
	Cite No.1	Foreign Patent Document	Publication Date	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages		
		Country Code ^{3 -} Number ^{4 -} Kind Code ⁵ (if known)	MM-DD-YYYY		Or Relevant Figures Appear	T⁵	
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Examiner	Date	
Signature	Considered	

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This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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Substitute for form 1449/PTO		Complete if Known			
Substitute to form 1449/110				Application Number	10/540,350
INF	ORMATION	DIS	CLOSURE	Filing Date	06/21/2005
STATEMENT BY APPLICANT			PPLICANT	First Named Inventor	Helmut CLAUSING
	(lloo oo maay aho	oto oo #		Art Unit	3661
(Use as many sheets as necessary)			ecessary)	Examiner Name	NGUYEN, THU V
Sheet	1	of	1	Attorney Docket Number	3926.170

	NON DATENT LITED ATIDE DOCUMENTS	
Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T²
	JIN ET AL.: "A highly accurate laser-sectioning method for in-motion railway inspection," IEICE Transactions on Information and Systems, 1993, pages 1181-1189, Vol. E76-D, No. 10, Tokyo, Japan	
	JIN ET AL.: "Advanced dynamic obstacle-detecting system for railway surroundings using a highly accurate laser-sectioning method," Proceedings of the International Conference on Instrumentation and Automation (IECON), 1992, pages 1599-1603, IEEE, New York, US	
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	Cite No.1	No. the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published. JIN ET AL.: "A highly accurate laser-sectioning method for in-motion railway inspection," IEICE Transactions on Information and Systems, 1993, pages 1181-1189, Vol. E76-D, No. 10, Tokyo, Japan JIN ET AL.: "Advanced dynamic obstacle-detecting system for railway surroundings using a highly accurate laser-sectioning method," Proceedings of the International Conference on Instrumentation and Automation

Examiner	Date	
Signature	Considered	_

^{*}EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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1 Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached.

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